

**INFORMATION
DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet

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of

3

Complete if Known	
Application Number	Not Yet Assigned
Filing Date	Concurrently Herewith
First Named Inventor	May
Group Art Unit	2765
Examiner Name	J. Germain
Attorney Docket Number	38866/204611

PRO 00265
 U.S. 0016809
 10/05/00
 JC675

U. S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant Of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages of Relevant Figures Appear
		Number	Kind Code ² (if known)			
grm	1	3,581,072		Nymeyer	05-25-1971	
grm	2	4,674,044		Kaimus et al.	06-16-1987	
grm	3	4,677,552		Sibley, Jr.	06-30-1987	
grm	4	4,903,201		Wagner	02-20-1990	
grm	5	4,953,085		Atkins	08-28-1990	
grm	6	4,980,826		Wagner	12-25-1990	
grm	7	5,003,473		Richards	03-26-1991	
grm	8	5,077,665		Silvermann et al.	12-31-1991	
grm	9	5,126,936		Champion et al.	06-30-1992	
grm	10	5,136,501		Silverman et al.	08-04-1992	
grm	11	5,168,446		Wiseman	12-01-1992	
grm	12	5,193,056		Boes	03-09-1993	
grm	13	5,258,908		Hartheimer et al.	11-02-1993	
grm	14	5,285,383		Lindsey et al.	02-08-1994	
grm	15	5,297,031		Guterman et al.	03-22-1994	
grm	16	5,375,055		Togher et al.	12-20-1994	

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Examiner Initials	Cite No.	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Office ³	Number ⁴	Kind Code ⁵				

Examiner Signature	<i>Jay Germain</i>	Date Considered	4/12/04
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*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Unique citation designation number.² See attached Kinds of U.S. Patent Documents.³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3).⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document.⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible.⁶ Applicant is to place a check mark here if English language Translation is attached.

Substitute for form 1449A/PTO				Complete if Known	
				Application Number	Not Yet Assigned
				Filing Date	Concurrently Herewith
				First Named Inventor	May
				Group Art Unit	2765
				Examiner Name	J. Germain
Sheet	2	of	3	Attorney Docket Number	38866/204611

(Use as many sheets as necessary)

U. S. PATENT DOCUMENTS

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		Number	Kind Code ⁸ (if known)			
<i>JG</i>	17	5,396,552		Jahn et al.	03-07-1995	
<i>JG</i>	18	5,446,885		Moore et al.	08-29-1995	
<i>JG</i>	19	5,517,406		Harris et al.	05-14-1996	
<i>JG</i>	20	5,557,517		Daugherty, III	09-17-1996	
<i>JG</i>	21	5,630,127		Moore et al.	05-13-1997	
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<i>JG</i>	28	5,940,810		Traub et al.	08-17-1999	
<i>JG</i>	29	5,950,176		Keiser et al.	09-07-1999	
<i>JG</i>	30	5,970,479		Shepherd	10-19-1999	
<i>JG</i>	31	6,014,627		Togher et al.	01-11-2000	

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Examiner Initials	Cite No.	Foreign Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ¹²
		Office ⁹ ¹¹	Number ¹⁰	Kind Code (if known)			
<i>JG</i>	32		0 399 850	A2	Reuters Limited	11-28-1990	
<i>JG</i>	33		0 407 026	A2	Reuters Limited	01-09-1991	
<i>JG</i>	34		0 411 748	A2	Reuters Limited	02-06-1991	
<i>JG</i>	35	WO	95 06918	A	MJT Holdings, Inc.	03-09-1995	
<i>JG</i>	36	WO	96 05563	A	Reuters Limited	02-22-1996	
<i>JG</i>	37	WO	96 34357	A	MJT Holdings, Inc.	10-31-1996	
<i>JG</i>	38	WO	97 03409	A	Cedel Bank	01-30-1997	

Examiner Signature	<i>J. Germain</i>	Date Considered	4/12/04
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INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(Use as many sheets as necessary)</i>				Application Number	Not Yet Assigned
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				First Named Inventor	May
				Group Art Unit	2765
				Examiner Name	J. Germain
				Sheet	3

NON PATENT LITERATURE DOCUMENTS

Examiner Signature		Date Considered	4/12/04
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(Revised 10/2001)

O.I.P.
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INFORMATION DISCLOSURE
STATEMENT BY APPLICANT
(Use as many sheets as necessary)

Sheet

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of

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Complete if Known

Application Number	09/680,365
Filing Date	October 5, 2000
First Named Inventor	R. Raymond May
Group Art Unit	2164
Examiner Name	Coles, S.

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Technology Center 2100

Attorney Docket Number 38866/204611

U. S. PATENT DOCUMENTS

Examiner Initials*	Cite No.	Document Number Number - Kind Code (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages of Relevant Figures Appear
<i>JRL</i>	1	US-5,101,353	03-31-1992	Lupien et al.	
<i>JRL</i>	2	US-5,270,922	12-14-1993	Higgins	
<i>JRL</i>	3	US-5,594,639	01-14-1997	Atsumi	
<i>JRL</i>	4	US-5,819,237	10-06-1998	Garman	
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<i>JRL</i>	11	US-6,195,647	02-27-2001	Martyn et al.	

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Examiner Initials	Cite No.	Foreign Patent Document Country Code - Number Kind Code (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T
<i>JRL</i>	12	EP 0512702 A2	11-11-1992	Reuters Limited		

Examiner
Signature

R. Raymond May

Date
Considered

4/12/04

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Substitute for form 1449B/PTO
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INFORMATION DISCLOSURE
STATEMENT BY APPLICANT

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Sheet 2 of 2

Complete if Known

Application Number 09/680,365
Filing Date October 5, 2000
First Named Inventor R. Raymond May
Group Art Unit 2164
Examiner Name Shareill Coles
Attorney Docket Number 38866/204611

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OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS

Examiner Initials	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T
<i>RRM</i>	13	RABATIN, Adaptive Portfolio Trading Strategies for Forex Portfolios, Journal, April 1997, Pages 1-11, Issue 4, Rabatin Investment Technology	
<i>RRM</i>	14	HIGGENS, Managing the Risk of Your Global Bond Portfolio, Journal, April 1996, Pages 13-16, Issue 0951-3604, Global Investor	
<i>RRM</i>	15	AVANZATO, How to Use The Collateral Carousel, Journal, January 1998, Pages 29-31, Issue 0262-6969, International Financial Law Review	
<i>RRM</i>	16	LUDWIG, Supervision by Risk, Journal, November 1995, Pages 52-60, Issue 1062-6271, Journal of Commercial Lending	
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<i>RRM</i>	18	MAGUIRE, Details on Derivatives AIG Breaks Down Exposure, Journal, June 13, 1994, Page 1, Volume 4, Number 23, The Insurance Accountant	
<i>RRM</i>	19	TDC Symbology Guide, Article, November 2001, Pages 1-14, Track Data Corporation, Brooklyn, United States	

Examiner Signature

Raymond May

Date Considered

4/12/04

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